

U.S. Patent Application No. 09/739,933
Exhibit 1

Atty Dkt. No.: UCA1263
USPN: 09/129,028
Exhibit 2

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.	
Typed or Printed Name	<i>Cindy Hoang</i>
Signature	<i>Cindy Hoang</i> Date <i>09/16/02</i>
DECLARATION OF JAMES FALLON UNDER 37 C.F.R. § 1.132 Address to: Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket Confirmation No.
	First Named Inventor
	Application Number
	Filing Date
	Group Art Unit
	Examiner Name
Title	UCA1.263 3865 S.J. Reid 09/129,028 August 4, 1998 1647 S.L. Turner <i>Methods for treating neurological deficits</i>

Dear Sir:

1. I, James Fallon, declare and say I am a co-inventor of the claims of the above-identified patent application. I directed others and personally performed the research leading to the invention disclosed and claimed therein.

2. I have read the Office Action dated May 6, 2002 in this application and understand that the Examiner has rejected pending claims 45-54 on the basis that they are allegedly anticipated by Reid et al. ("Radial Migration of Subependymal Cells in the Adult Rodent Forebrain," Society of Neuroscience Abstracts Vol. 22, Part 3, 26th Annual Meeting, Washington, D.C., November 16-21 (September 17, 1996); referred to herein as "The Reid Abstract").

3. I am a co-author of the Reid Abstract.

Atty Dkt. No.: UCAL263
USBN: 09/129,028
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4. I understand that pending claims 43-54 of the instant application were rejected over the Reid Abstract. The Reid Abstract named S. Reid, S.M. Patel, and J.H. Fallon as authors.

5. Reid and I conceived of and reduced to practice the invention disclosed and claimed within this application. Patel is not an inventor, but was named as a co-author due to technical contribution he provided. Specifically, Patel prepared and stained tissue sections. Patel did not contribute inventive input with respect to the invention disclosed and claimed in this application.

6. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title XVIII of the United States Code, and that such will false statements may jeopardize the validity of the application or any patent issuing thereon.

9/9/02
Date


James Fallon

\\DOCUMENT\UCAL\263\002\1\001.doc

TGF alpha
Species Sequences

[illegible]

- *TyrEGF AA 1-53, A-loop to larger
- *TyrHP-EGF 101-160 (208)
- *TyrBeta catulin 31-80 (80)
- *amphiregulin 33-78 (78)

U.S. Patent Application No. 09/739,933
Exhibit 3

Atty Dkt. No.: UCAL263CIP
USPN: 09/739,933
Exhibit 3

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Typed or Printed Name		
Signature	Date	
DECLARATION OF JAMES FALLON UNDER 37 C.F.R. § 1.131 Address to: Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket Confirmation No.	UCAL263 3865
	First Named Inventor	J.S. Reid
	Application Number	09/129,028
	Filing Date	August 4, 1998
	Group Art Unit	1647
	Examiner Name	S. Turner
	Title	Methods for treating neurological deficits

Dear Sir:


- I, James Fallon, declare and say I am a co-inventor of the claims of the above-identified patent application.
- I understand that claims 1-7, 16, and 33 were rejected as anticipated by Alexi et al ((May 1997) *Neuroscience* 78:73-86; "Alexi").
- As evidenced in paragraph 4, below, the invention as claimed was conceived and reduced to practice prior to May, 1997, i.e., prior to the effective date of Alexi.
- The claimed invention of a method of attracting a glial progenitor cell, or a progeny of a glial progenitor cell, to a site of central nervous system lesion or damage, involving administering

Atty Dkt. No.: UCAL263CIP
USBN: 09/739,933
Exhibit 3

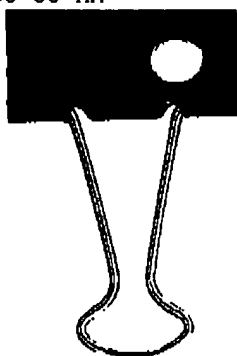
a compound that binds to an epidermal growth factor receptor, was conceived and reduced to practice before May 1997. The claimed invention is described in the doctoral thesis of Steven James Reid, which was deposited with the Office of Graduate Studies of the University of California at Irvine in March, 1997. A copy of Steven James Reid's thesis is provided herewith as Exhibit 4.

5. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title XVIII of the United States Code, and that such will false statements may jeopardize the validity of the application or any patent issuing thereon.

11/20/2
Date


James Fallon

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U. Patent Application No. 09/739,933
Exhibit 4

This is an authorized facsimile, made from the microfilm master copy of the original dissertation or master thesis published by UMI.

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Exhibit 5

UCI

University of California, Irvine

OFFICE OF GRADUATE STUDIES
IRVINE, CALIFORNIA 92717-3130REPORT ON FINAL EXAMINATION FOR
THE DEGREE OF DOCTOR OF PHILOSOPHY
Ph.D. FORM II

DEPARTMENT

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State

Zip Code

Language

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Date Passed _____

Language

NONE

Date Passed _____

Title of Dissertation:

TRANSFORMING GROWTH FACTOR ALPHA IN THE NERVOUS SYSTEM

AND ITS ROLE IN REGENERATION OF THE ADULT MAMMALIAN FOREBRAIN

The doctoral committee is pleased to report upon the candidate's final examination with the recommendation that the degree of Doctor of Philosophy be conferred upon submission of the approved doctoral dissertation.

Date of Defense: MARCH 11, 1997

GRADUATE STUDIES

MAR 17 1997

Name (please print)

Signature

JAMES H. FAULON

ROLAND A. GIOLLI

JOHN F. MARSHALL

James H. Faulon
Roland A. Giolli
John F. Marshall

HSC 120 ADMIN.

☒ Yes ☐ No☒ Yes ☐ No☒ Yes ☐ No

OFFICE OF GRADUATE STUDIES

Requirements fulfilled:

☐ Language☐ Date Advanced to Candidacy February 13, 1996☒ Residency☒ Dissertation Approved

The candidate has satisfied all of the requirements for the Doctor of Philosophy in Biological Sciences

It is recommended that the degree be conferred as of

Winter

1997

Quarter

Year

Dean of Graduate Studies



LIBRARY ARCHIVES

Manuscript Submitted

DATE 3-14-97

INITIALS JH

Date

March 18, 1997

Friedrich J. Marshall

Nov. 05 2002 04:28PM P3

Please type and prepare in duplicate)

JAMES	STEVEN
JAMES	STEVEN
First	Middle

Number and Street	City	State	Zip Code
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Approved for Release

Degree Objective
(e.g. MA, MS, MFA, Ed.D., PhD)

Table 2

unabhängig sein

Quarter and Year

TITLE OF DISSERTATION/THESIS: Please CAPITALIZE the title and indicate italics by underlining.

TRANSFORMING GROWTH FACTOR ALPHA IN THE HYPOTHALAMIC SYSTEM AND ITS ROLE IN REGENERATION OF THE ADULT MAMMALIAN FOREBRAIN

FOR OFFICE USE ONLY

APPROVED:

MANUSCRIPT APPROVED AND ACCEPTED:

Dept of Graduate Studies

Library Archives

Costs Approved

Data Approved and Accepted

**SENT TO UNI (Discretion)/
SENT TO CATALOGING (Media)**

2025 2020